



**UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION**

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**DIVISION OF ENFORCEMENT**

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May 15, 2019

VIA ECF AND EMAIL

The Honorable Katherine Polk Failla  
United States Courthouse  
40 Foley Square, Room 2103  
New York, NY 10007

Re: SEC v. Plaford, 16 Civ. 4511 (KPF)

Dear Judge Failla:

We respectfully submit this joint status report on behalf of the parties pursuant to the Court's April 15, 2019 Order.

The staff of the Commission and counsel for Mr. Plaford have exchanged draft settlement documents and believe that they are close to reaching an agreement in principle to settle this matter. Once an agreement in principle has been reached, the staff must obtain authorization from the Commission prior to seeking the approval of the Court.

The parties respectfully request sixty days to reach such agreement and obtain Commission approval prior to providing the Court with another status report.

Sincerely,

A handwritten signature in black ink, appearing to read "Victor Suthammanont", written over a horizontal line.

Victor Suthammanont  
Senior Counsel  
Division of Enforcement

cc: David Smith, Esq., Counsel to Christopher Plaford (via email)